

A PROPOSAL AND REQUEST FOR FUNDING TO THE LOUISIANA TECHNOLOGY INNOVATION FUND

I PROJECT TITLE: Development of Business Continuity and Disaster Recovery Plans in DEQ, DNR, DOTD, and DWF Using Specialized Planning and Mitigation Software

II PROJECT LEADERS

The following Project Leaders would be named upon approval of funding for the project:

Department of Environmental Quality	Stacy Richardson
Department of Natural Resources	Rizwan Ahmed
Department of Transportation and Development	Dom Cali
Department of Wildlife and Fisheries	David Dousay

III EXECUTIVE SUMMARY

Continuity of critical government services in the event of an unscheduled disaster or crisis is of paramount importance to the State of Louisiana. In recognition of the importance of continuity of operations and the role that these agencies play in emergency preparedness planning and operations in Louisiana, this request is being submitted by the following four departments of Louisiana State government:

Department of Environmental Quality
Department of Natural Resources
Department of Transportation and Development
Department of Wildlife and Fisheries

This proposal is for funding a project involving the use of information technology and computer security consulting services assistance to these agencies in the usage of planning and mitigation software being purchased by the Division of Administration. These agencies would develop Business Continuity Plans (BCP) and Disaster Recovery Plans (DRP) using this software, guided by the expertise of the computer security specialists. This project will also support the state emergency operations plan by enabling departments to become proactive in disaster mitigation.

Each of the four departments would utilize 750 hours of consulting services, or a total of 3,000 hours, at an estimated cost of \$125 an hour. Total funding request is thus \$375,000. Consulting services would be procured via the State's CSSA contract procurement mechanism.

Estimated project duration, once contracts were awarded, is 6 months.

IV DESCRIPTION OF THE PROJECT

A. Project Narrative

Traditionally, Disaster Recovery planning has focused primarily on the recovery of computer systems. However, recovery of the computer systems alone does not guarantee survival of the organization. The only way to ensure that is to plan for the recovery and resumption of all critical business processes within the subject department. To accomplish this, each department needs to establish separate, yet integrated Business Continuity Plans for each of its business units (Offices). The integration of these business unit plans establishes the comprehensive Business Continuity Plan (BCP) for the department.

The success of this approach depends on detailed and coordinated planning by all business units. This planning process will generate specific plans for each phase.

Disaster Recovery Plans concern themselves with the immediate response and recovery activities to re-establish critical business infrastructure. The procedures and personnel defined in a DRP will define the resources determined critical for recovery, and how fast, by whom, and where the recovery will take place.

Documentation of how the recovered resources are to be operated is the responsibility of the Business Continuity Plan. Once business resources have been recovered, the next step is to place these resources into operation. Adding specific business resumption procedures and priorities that focus on how the recovered resources will be utilized in the continuation of business operations creates a Business Continuity Plan.

A Business Restoration Plan would include procedures to return to normal business conditions. However, depending on the recovery and continuity solutions, there may not be a need for a business restoration plan – in other words, the Business Continuity solution can also serve as the Business Restoration Plan.

B. Use of Innovative Technology

This project would involve the use of sophisticated planning and mitigation software, to be purchased by the Division of Administration and funded by the Office of Emergency Preparedness, to accomplish the development of a BCP and DRP for state departments. Such planning in the past was accomplished by a series of uncoordinated, sometimes untested manual processes. This project will entail an imaginative partnership between the Division of Administration, the Office of Emergency Preparedness and four key departments to build and document plans. The project would fund security specialists and consultants to work with the four departments and their staffs to develop the plans using the planning software.

This project will feature the innovative use of high-end, interactive software to guide the performance of interviews leading to the development of a cross-organization BCP/DRP. After interviews are complete, the approach will result in a comprehensive plan that will reduce planning redundancy and maximize resource utilization.

C. Multi-agency Application or Portability to Other Agencies

Four key Louisiana State agencies are participating in this proposal, each of which are in need of new or updated BCPs and DRPs. These agencies represent organizations of varying sizes, with great geographical divergence of its work force and business processes, and employ both mainframe and client/server architectures. This project will demonstrate the viability and feasibility of using sophisticated mitigation software in the development of plans for other state agencies in Louisiana government. Experiences gained by the State in this prototype project will be portable and transferable to other agencies which also need to develop BCP/DRP plans.

D. Benchmarking Partners and/or Best Practice References (if applicable)

The use of sophisticated planning software has become an indispensable tool in the development of business continuity plans and disaster recovery plans, nationwide.

E. Long-range Planning

Long-range planning by Louisiana state agencies is a key element in establishing long-term direction, assuring that the agencies are meeting Legislative mandates and providing effective and

efficient services. The existence of a comprehensive, workable business continuity plan and disaster recovery plan is needed to ensure the delivery of mission-critical state services continues in the event of a disaster or crisis. Thus, this project will enhance the long-range stability and planning of these four departments of Louisiana state government.

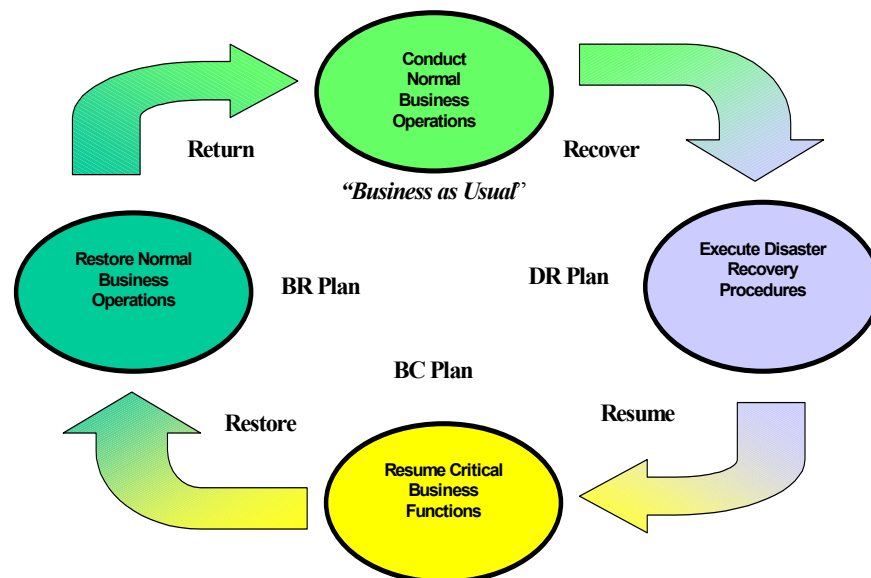
F. Performance Goal

The development of carefully designed business continuity plans, and the resulting ability to continue to perform critical business processes in the event of a disaster, will allow these agencies the ability to successfully meet a variety of performance indicators. In addition, the development of the BCP/DRP for the Department of Natural Resources will allow that department to clear its repeat audit finding of the Legislative Auditor related to these plans, and to address this same problem in other departments.

G. Technical Approach

The purpose of this section is to show how the project will be implemented by discussing the following issues:

1. *Technical description.* This project will enable four key state departments to define and document their business continuity plans and disaster recovery plans, using a process such as that shown below.



2. *Interoperability.* The plans developed will document existing business processes and architecture configurations, and work with these existing resources.
3. *Scalability.* Not applicable
4. *Maintaining the System.* Once the DCP and DRP plans are developed as part of this project, existing staff members of the four participating departments will use the planning software to maintain the plans over time.

H. Implementation Approach

- Secure funding
- Acquire security consulting services via CSSA contract mechanism

- Using mitigation software provided by the Division of Administration, identify and document the roles and responsibilities of technology management and recovery teams
- Document the technology continuity strategy including Recovery Time Objectives
- Identify and document data backup, protection and Recovery Point Objectives
- Identify and document the required recovery actions
- Define support departments recovery responsibilities
- Identification of potential points of failure and proposed backup solution

I. Assessment of Risks

The proposed project has minimal risk of failure, and many opportunities for success and for prototyping the usage of software in the development of plans for these four prototype departments, and for all other state departments as well in the future.

J. Integration with Existing Technologies

This proposal will build upon and use existing resources and infrastructures in the four participating state departments. It will provide the framework for these departments to function in times of disaster or crisis, and will support the state emergency operations plan by enabling the departments to become proactive in disaster mitigation.

K. Project Budget and Costs

1. *Equipment.* **None**
2. *Software.* **None**
3. *Telecommunications.* **None**
4. **Professional/Contracted Services.**

PROFESSIONAL SERVICES			
Professional services will be required to assist department personnel in the organization of the actual planning process, and in the usage of BCP/DRP planning software. It is estimated that 750 hours of consulting services at \$125/hr will be required for each of the four departments participating in the project, for a total of 3,000 hours, as follows:			
DEQ - 750 hours			
DNR - 750 hours			
DOTD - 750 hours			
DWF - 750 hours			
Cost Summary:			
<u>Item</u>	<u>Quantity</u>	<u>Unit Price</u>	<u>Total</u>
Professional Services	3,000 hours	\$125/hr	<u>\$375,000</u>
Total			\$375,000

5. *Other.* None

V FUNDING REQUESTED

FUNDING REQUESTED			
Other Sources: None			
<u>Funding Category</u>	<u>Total Cost</u>	<u>Other Sources</u>	<u>Funding Requested</u>
Equipment	\$ 0	\$ 0	\$ 0
Software	0	0	0
Telecommunications	0	0	0
Professional Services	375,000	0	375,000
Other	0	0	0
Total	\$375,000	\$ 0	\$375,000

VI COST/BENEFIT ANALYSIS

See Attachment I for the Fiscal Note associated with this request, representing the combined fiscal impact on the four departments submitting the request.

In the last appropriation cycle, the Department of Natural Resources estimated the cost of a project to develop a BCP and DRP to be \$600,000, without the use of specialized planning software such as that which will now be available through the Division of Administration. It was estimated that up to 4,000 hours of consulting services would have been required, versus only 750 hours in this proposal. The cost savings and benefits using the approach in this request would be significant for DNR, as well as for other departments as well.

VII SIGNED STANDARD FORM

Included with this request is a cover letter signed by the Undersecretaries (or their representatives) of the four departments submitting this request.

Expenditure Increase (Decrease)			
STATE COSTS	2003-04	2004-05	2005-06
Personal Services	0	0	0
Operating Services	0	0	0
Professional Services	375,000 (Innov. Fund)	0	0
Other Charges	0	300,000	300,000
Equipment	0	0	0
Total State Exp.	375,000	300,000	300,000

PERSONNEL (By Classification)	2003-04		2004-05		2005-06	
	No.	Av.	No.	Av.	No.	Av.
	<u>Pos.</u>	<u>Sal.</u>	<u>Pos.</u>	<u>Sal.</u>	<u>Pos.</u>	<u>Sal.</u>
None						

MEANS OF FINANCING FOR ABOVE EXPENDITURES					
FISCAL YEAR	STATE GEN. FUND	AGENCY SELF GENERATED	RESTRICTED/ OTHER (specify)	FEDERAL FUNDS	LOCAL FUNDS
2003-04			375,000 (Innovation Fund)		
2004-05	120,000		180,000		
2005-06	120,000		180,000		

Narrative Explanation of Expenditure Impact

- 1) Implementation Costs – Funding for implementation in 2004-05 and 2005-06 is estimated to be a total of \$300,000 each year for hot-site backup facilities for the four departments involved in this request, as follows:

DEQ	\$5,000 per month x 12 months = \$60,000
DNR	\$5,000 per month x 12 months = \$60,000
DOTD	\$10,000 per month x 12 months = \$120,000
DWF	\$5,000 per month x 12 months = \$60,000

- 2) Source of Funds

The funding for a hot-site backup facility in 2004-05 and 2005-06 would be required as the BCP and DRP plans are implemented in those years.

The funding for DNR and DEQ would require State General Funds in the amount of \$120,000.

The funding for DOTD and DWF would require funding in the amount of \$180,000 in Restricted/Other funds.

Revenue Increase (Decrease) – Not Applicable					
<u>FISCAL YEAR</u>	<u>STATE GEN. FUND</u>	<u>AGENCY SELF GENERATED</u>	<u>RESTRICTED/ OTHER (specify)</u>	<u>FEDERAL FUNDS</u>	<u>LOCAL FUNDS</u>
2003-04	NA				
2004-05	NA				
2005-06	NA				